

Attachment H

COVER SHEET (PAGE 1 of 2)

May 1998 CALFED ECOSYSTEM RESTORATION PROPOSAL SOLICITATION

Proposal Title: City of Redding Water Utility Fish Screen Rehabilitation
 Applicant Name: City of Redding
 Mailing Address: 760 Parkview Avenue, Redding, California 96049-6017
 Telephone: (530) 225-4170
 Fax: (530) 245-7024

Amount of funding requested: \$ 495,400 for 3 years

Indicate the Topic for which you are applying (check only one box). Note that this is an important decision: see page of the Proposal Solicitation Package for more information.

- | | |
|--|---|
| <input type="checkbox"/> Fish Passage Assessment | <input type="checkbox"/> Fish Passage Improvements |
| <input type="checkbox"/> Floodplain and Habitat Restoration | <input type="checkbox"/> Gravel Restoration |
| <input type="checkbox"/> Fish Harvest | <input type="checkbox"/> Species Life History Studies |
| <input type="checkbox"/> Watershed Planning/Implementation | <input type="checkbox"/> Education |
| <input checked="" type="checkbox"/> Fish Screen Evaluations - Alternatives and Biological Priorities | |

Indicate the geographic area of your proposal (check only one box):

- | | |
|---|---|
| <input checked="" type="checkbox"/> Sacramento River Mainstem | <input type="checkbox"/> Sacramento Tributary: <u> </u> |
| <input type="checkbox"/> Delta | <input type="checkbox"/> East Side Delta Tributary: <u> </u> |
| <input type="checkbox"/> Suisun Marsh and Bay | <input type="checkbox"/> San Joaquin Tributary: <u> </u> |
| <input type="checkbox"/> San Joaquin River Mainstem | <input type="checkbox"/> Other: <u> </u> |
| <input type="checkbox"/> Landscape (entire Bay-Delta watershed) | <input type="checkbox"/> North Bay: <u> </u> |

Indicate the primary species which the proposal addresses (check no more than two boxes):

- | | |
|--|---|
| <input type="checkbox"/> San Joaquin and East-side Delta tributaries fall-run chinook salmon | <input type="checkbox"/> Spring-run chinook salmon |
| <input checked="" type="checkbox"/> Winter-run chinook salmon | <input type="checkbox"/> Fall-run chinook salmon |
| <input type="checkbox"/> Late-fall run chinook salmon | <input type="checkbox"/> Longfin smelt |
| <input type="checkbox"/> Delta smelt | <input checked="" type="checkbox"/> Steelhead trout |
| <input type="checkbox"/> Splittail | <input type="checkbox"/> Striped bass |
| <input type="checkbox"/> Green sturgeon | |
| <input type="checkbox"/> Migratory birds | |

COVER SHEET (PAGE 2 of 2)

May 1998 CALFED ECOSYSTEM RESTORATION PROPOSAL SOLICITATION

Indicate the type of applicant (check only one box):

- | | |
|---|---|
| <input type="checkbox"/> State agency | <input type="checkbox"/> Federal agency |
| <input type="checkbox"/> Public/Non-profit joint venture | <input type="checkbox"/> Non-profit |
| <input checked="" type="checkbox"/> Local government/district | <input type="checkbox"/> Private party |
| <input type="checkbox"/> University | <input type="checkbox"/> Other: _____ |

Indicate the type of project (check only one box):

- | | |
|-------------------------------------|--|
| <input type="checkbox"/> Planning | <input checked="" type="checkbox"/> Implementation |
| <input type="checkbox"/> Monitoring | <input type="checkbox"/> Education |
| <input type="checkbox"/> Research | |

By signing below, the applicant declares the following:

- (1) the truthfulness of all representations in their proposal;
- (2) the individual signing the form is entitled to submit the application on behalf of the applicant (if applicant is an entity or organization); and
- (3) the person submitting the application has read and understood the conflict of interest and confidentiality discussion in the PSP (Section II.K) and waives any and all rights to privacy and confidentiality of the proposal on behalf of the applicant, to the extent as provided in the Section.


(Signature of Applicant)

Category III

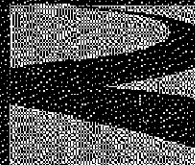
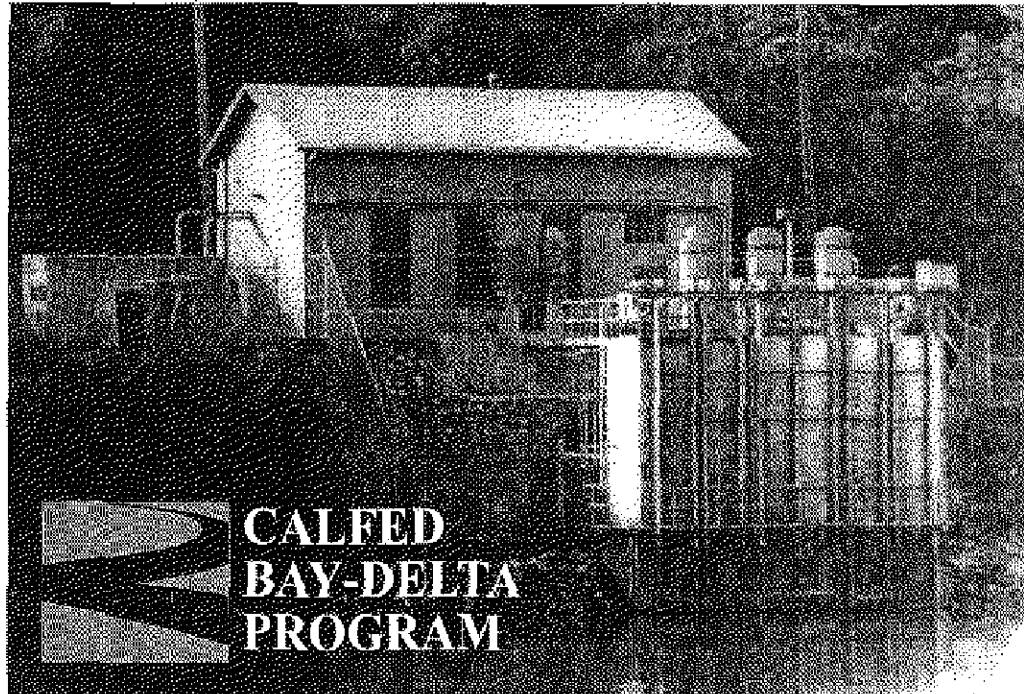
Proposal for the

City of Redding

Water Utility Fish Screen Rehabilitation



Submitted by:
City of Redding



**CALFED
BAY-DELTA
PROGRAM**

Prepared by:  **SUGNET and ASSOCIATES**
environmental solutions

CALFED (CATEGORY III)

II. EXECUTIVE SUMMARY

PROJECT TITLE: City of Redding Water Utility Fish Screen Rehabilitation

APPLICANT: City of Redding, Department of Public Works
760 Parkview Avenue, Redding, California 96049-6017

PROJECT DESCRIPTION AND PRIMARY BIOLOGICAL/ECOLOGICAL OBJECTIVES:

The City of Redding is requesting funds to install a modern fish screen structure on its intake structure at Pump Station #1 (City of Redding Water Utility, within the Sacramento River, Shasta County) which will meet the National Marine Fisheries Service (NMFS) and California Department of Fish and Game (CDFG) present screen criteria. Design, engineering, construction, installation, and monitoring of the new screens and any necessary modification of the present intake structure would take place. The primary objective of the project is to increase protection for priority species of juvenile fish within this section of the Sacramento River. The protection added by the upgraded screening system on Pump Station #1 will reduce or eliminate entrainment losses of CALFED priority and secondary species including *winter-run, spring-run, Sacramento fall-run and Sacramento late-fall run chinook salmon, steelhead trout*, and other resident fish species.

APPROACH/TASK/SCHEDULE:

The City of Redding Water Utility Fish Screen Rehabilitation project initiation (Phase One) would start immediately following funding approval and will include examination of historic data and plan sets covering the present pump structure and its functioning mechanisms. A bid package and contract solicitation for the design and engineering of the new screening system would be compiled and a contractor would be selected. During Phase Two, design and engineering will occur. The design and engineering of the new fish screening mechanism for Pump Station #1 will adhere to the present standards set forth by NMFS and CDFG. Environmental documents will be prepared, and required permits for the installation obtained during Phase Three. Phase Four will include solicitation of bid packages for the construction of the designed screen and selection of a contractor. Following selection of the contractor and when the rivers water conditions allow, construction would start immediately. Construction and installation of the new screens would be monitored by City of Redding personnel to ensure compliance with city, state, and federal laws. Phase Five would include monitoring and inspections of the new screening structure for a year to ensure that the system is functioning properly. Phases One through Four are expected to take two years to complete while Phase Five would monitor the site during the third year to ensure the screens are functioning properly.

JUSTIFICATION FOR PROJECT AND FUNDING PROVIDED BY CALFED:

The CALFED Bay-Delta Program has identified fish entrainment from unscreened and inadequately screened water diversions as a major stressor contributing to the decline of priority fish species. The City of Redding Water Utility Fish Screen Rehabilitation is a necessary project to ensure the protection of juvenile salmon, steelhead, and many other fishes and invertebrates within this reach of the Sacramento River. While prior monitoring efforts have indicated no evidence of entrainment, it is recognized that the screens in use presently at Pump Station #1 do not meet the current

standards set by NMFS and CDFG. The upgrade of the screening structure at this existing facility will implement a positive barrier which will ensure the protection of various fish species by limiting or restricting entrainment. The objective of this project to limit and restrict entrainment of priority species is compatible with CALFED's objective to increase the survival and population abundance of these species to levels that contribute to the overall health of the Sacramento River and, subsequently, the Bay-Delta ecosystem.

BUDGET COSTS AND THIRD PARTY IMPACTS:

The proposed budget of \$518,640 would fund the 3 year project. The City will provide cost sharing in the form of its civil engineering personnel who will oversee construction and inspect the construction of the project as well as complete management of the entire project from start to finish. CALFED funding would be used to design and purchase the needed materials to construct the screening system, and cover the cost of construction. There are no anticipated third party impacts resulting from this proposed project.

APPLICANT QUALIFICATIONS:

The City of Redding Fish Screen Restoration project will be administered by the City of Redding and receive support from the County of Shasta. The City of Redding is responsible for the management of planning, growth, public utilities and preservation of natural resources within the City of Redding. The City of Redding is staffed with experienced managers, planners, and engineers who have demonstrated an ability to protect and restore natural resources. In addition, qualified, experienced staff of the County of Shasta will contribute support.

MONITORING AND DATA EVALUATION:

As part of the City of Redding Water Utility Fish Screen Rehabilitation project, a monitoring program will be designed and implemented in conjunction with NMFS and CDFG guidelines and the approval of the CALFED Bay-Delta Program to ensure that the installed screen structures are working properly. A final project report will be prepared and submitted upon completion of the project and its final inspection.

LOCAL SUPPORT/COORDINATION WITH OTHER PROGRAMS AND COMPATIBILITY WITH CALFED OBJECTIVES:

The City of Redding Department of Public Works will administer efforts to ensure the successful implementation of the project in a cooperative effort which will include input from the National Marine Fisheries Service, U.S. Fish and Wildlife Service, California Department of Fish and Game, and the California Department of Water Resources. To augment funding of this screening project the City of Redding will also be submitting this proposal to request funding through the Central Valley Project Improvement Act (CVPIA).

This project is compatible with CALFED objectives because it addresses the needs for improved juvenile fish protection for priority species by installing efficient water diversion screens within the Sacramento River drainage. It will greatly increase protection for CALFED priority species of juvenile fish such as *chinook salmon* and *steelhead trout* in this area which serves as a spawning and rearing area prior to migration downstream to the ocean.

City of Redding Water Utility Fish Screen Rehabilitation

Applicant: City of Redding
Department of Public Works

Responsible Individual and Title -
Morton August, Director of Public Works

Address: City of Redding, Department of Public Works
760 Parkview Avenue, Redding, California 96049-6071

Phone: (530) 225-4170
Fax: (530) 245-7024
E-mail: N/A

Type of Organization and Tax Status: City Government - Exempt

Tax Identification Number: #94-6000401

Technical and Financial Contact Person: address/phone/fax/e-mail if different from above

Same as above.

Participants/Collaborators in Implementation:

City of Redding

IV. PROJECT DESCRIPTION

a. Project Description and Approach

The City of Redding Water Utility diverts water directly out of the Sacramento River at Pump Station #1 which is located on the south bank of the Sacramento River in the area referred to as Lake Redding. Pumps divert water to meet approximately 65% of the urban water needs for the City of Redding. The flows being taken in by the pumping plant average ± 37.2 cubic feet per second (CFS) with a maximum intake of 44.6 CFS. The pumping plant is utilized 365 days a year. Flows are dependent upon the immediate needs of the urban community, and fluctuate seasonally.

The main intake structure is within the Sacramento River approximately 2.7 miles down river of Keswick Dam. This reach of the Sacramento River provides spawning and rearing habitat for salmon and steelhead trout. The present fish screens have been operating since 1959. Though monitoring of entrainment by the intake structure has not indicated an entrainment problem, it is recognized that the screens do not meet the present standards set forth by the National Marine Fisheries Service (NMFS) and California Department of Fish and Game (CDFG). The installation of adequate fish screen structures on all diversions within this portion of the Sacramento River to protect juvenile endangered winter-run chinook salmon and threatened steelhead trout is a priority of the CALFED Bay-Delta Program, as well as other state and federal agencies.

The City of Redding Water Utility Fish Screen Rehabilitation Project would implement the design, engineering, construction, installation and monitoring of a new screening system. The City of Redding would contract a qualified engineering firm to design and engineer a screen structure which would meet required federal and state screen criteria to protect juvenile fish species. In order to ensure a minimal amount of disturbance to the present pumping structure and the Sacramento River, the design and engineering will include retrofitting of the present pumping structure to accept the new screening device. Following design and engineering, and the acquisition of required federal and state permits, based on the approved construction design, construction of the screen structure and installation would take place at Pump Station #1 by a qualified contractor under the supervision of the City of Redding. Following installation, continued inspections and monitoring of the new screening structure would occur to ensure that the screens are functioning properly. The benefits of construction and installation of the new screening structure would be immediate, for the new screening facility would eliminate entrainment or losses of priority fish species directly attributed to the pumping facility.

b. Proposed Scope of Work

For the budget and schedule of each Phase, See Table 1 and 2 respectively.
The major incremental phases of the project are identified in the following list:

Phase 1: Project Initiation

- Historical Data Collection
- Bid Package and Contract Solicitation
- Contractor Selection

Phase 2: Design and Engineering

Phase 3: Permitting

Phase 4: Construction

- Bid Package and Contract Solicitation
- Contractor Selection
- Construction

Phase 5: Monitoring

- Following Completion, Inspection and Monitoring

Quarterly project status reports will be prepared and circulated to the CALFED Bay-Delta Program, the technical advisory team, appropriate public agency representatives and any other interested parties. Each status report will include a brief description of the tasks completed, percentage of each task completed, technical or other problems and delays encountered, resolutions to these problems, and financial summaries. Following the end of the project a final report will be prepared summarizing all major tasks, accomplishments and final results of the project. Phases One through Four, described above, are expected to be implemented within a two year period following initial funding. During the third year, there would be regular inspections and a monitoring program initiated to ensure that the screens are functioning properly (Phase Five).

c. Location of the Project

City of Redding Water Utility Pump Station #1 is located on the south bank of the Sacramento River within the City of Redding, Shasta County, California. It is located approximately 2.7 miles downstream of Keswick Dam. This reach of the Sacramento River runs from the west to the east before turning south (Figure 1 - *Project Site and Vicinity*).

d. Expected Benefits

The project would reduce potential mortality of priority fish species due to entrainment by installing modern screens which meet the required specifications set by NMFS and CDFG. Primary and secondary priority species which will directly benefit from the protection offered by the new screens will be winter-run chinook salmon, spring-run chinook salmon, Sacramento fall and late fall-run

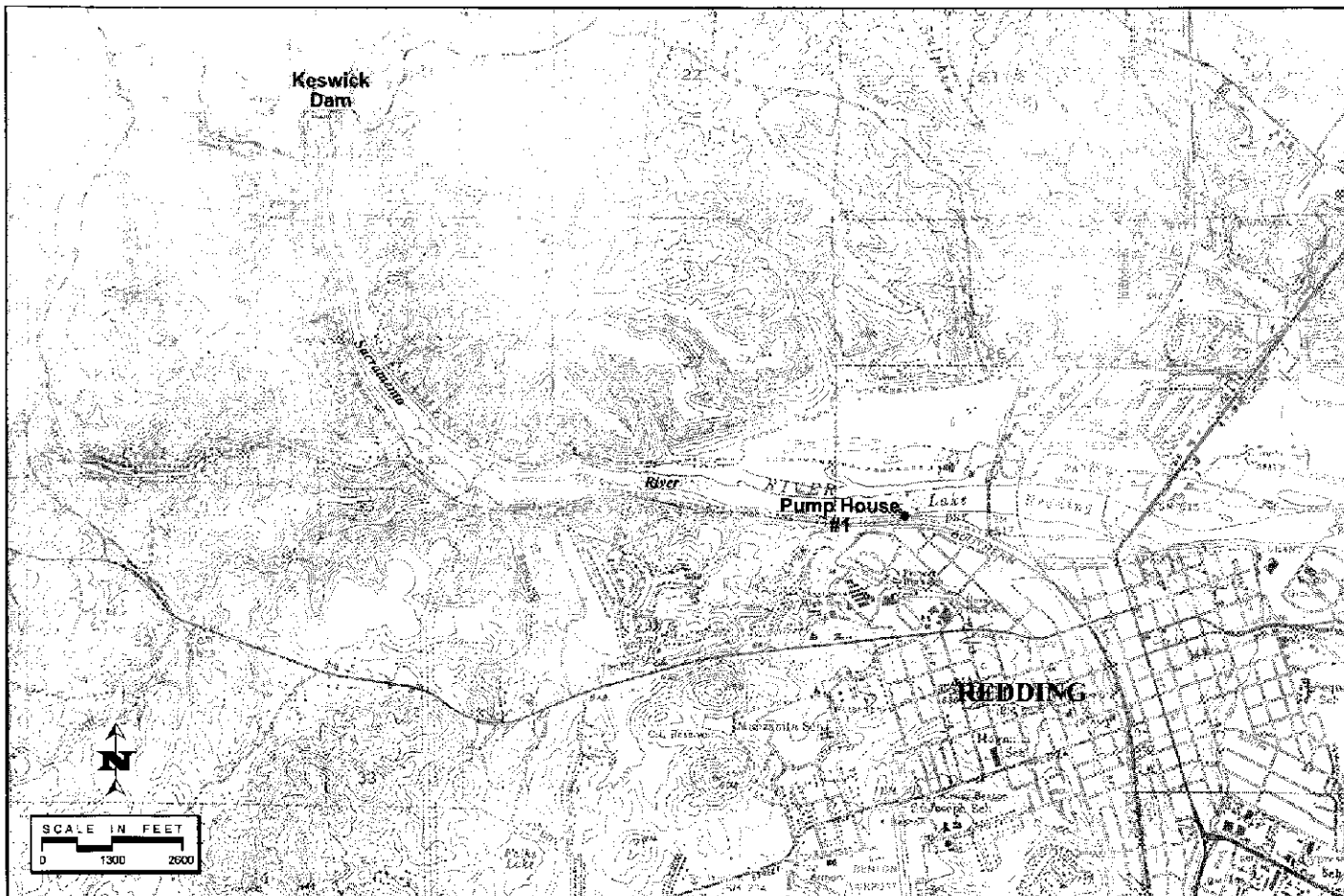


FIGURE 1. Project Site and Vicinity

chinook salmon, and steelhead trout. Ecological and economic benefits are expected since the potential reduction of juvenile fish losses would help to promote recovery of populations of listed and non-listed fish species, thus increasing the availability of fish to sport, commercial anglers, and the overall Sacramento River and Bay-Delta ecosystem. This project would provide other agencies or water intake facilities with a model for establishing proactive plans to increase water diversion protection. It would also provide the CALFED Bay-Delta Program with a model project to help increase awareness and knowledge about water diversion screening projects.

e. Background and Biological Justification

Losses of juvenile fish species due to unscreened and inadequately screened water diversions have been identified as a major stressor contributing to the decline of priority fish species within the Sacramento River and Bay-Delta system. Mortality from water diversion structures can occur through injury, impingement, entrainment, and increased vulnerability to predation.

Consistent with the *Ecosystem Restoration Program Plan* ecological benefits as described in the Water Diversions section (Volume I, pp. 274-277) and North Sacramento Valley Ecological Zone (Volume II, p. 185) entrainment is the most significant stressor to juvenile fish associated with unscreened or inadequately screened water diversions. From the source tributaries to the Delta, water diversions entrain millions of fish and other aquatic organisms. Entrained fishes generally do not survive, and are permanently removed from their source waters. The City of Redding recognizes the importance of adequate fish screening to help protect juvenile fish from entrainment at its pumping station. By installing new fish screens which meet the present standards of NMFS and CDFG, the city will be taking a pro-active step which will achieve the utmost in protection for juvenile fish, thus contributing to the increase in survival and population abundance of primary and secondary fish species (i.e., winter-run chinook salmon, spring-run chinook salmon, Sacramento late fall-run chinook salmon, Sacramento fall-run chinook salmon, and steelhead trout) to levels that will contribute to the overall health of the Delta and its tributary systems. In addition, this project is compatible with the Central Valley Project Improvement Act and its (CVPIA) goals to ensure a continued effort to protect natural production of anadromous fish species within the overall Sacramento River and Bay-Delta ecosystem.

f. Monitoring and Data Evaluation

Screen design and construction will be inspected to ensure compliance with NMFS and CDFG screen criteria. After installation, the screens and cleaning systems will be monitored regularly during year three to ensure proper mechanical effectiveness. Approach and sweeping velocities will be measured at the face of the screens to ensure specified criteria are met. An appropriate maintenance program will be conducted to ensure proper functioning and to facilitate expedient correction of any problems that may arise in the future.

g. Implementability

Technology concerning fish screen structures has been developed to allow for proper retrofitting of the pumping station described within this proposal. Design will allow for a screen to be installed which will be durable over a long period of time, and will allow the diversion flows to continue at required rates while increasing protection to juvenile fishes. Environmental documents will be prepared and required permits for the installation of the fish screen will be obtained. Since the City of Redding will be responsible for the management of the project, authorization to conduct the project has been pre-approved.

V. Costs and Schedule

a. Budget Costs

Phase 1: Project Initiation

Total Budget: \$4,620

- Historic Data Collection
- Bid Package and Contract Solicitation
- Contractor Selection

Phase 2: Design and Engineering

Total Budget: \$63,600

- Selected Contractor Designs/Engineers New Screen Structure

Phase 3: Environmental Documents Prepared and Permits Acquired

Total Budget: \$16,580

- Permitting

Phase 4: Construction

Total Budget: \$480,540

- Bid Package Solicitation
- Contractor Selection
- Construction

Phase 5: Monitoring

Total Budget: \$10,800

- Following Completion Regular Inspection and Monitoring

The City of Redding will conduct any subcontract bid and evaluation activities in accordance with the Redding Municipal Code Chapter 4.22, Sections 4.22.010 through 4.22.120. Sections within this chapter are entitled *Uniform construction cost accounting procedures --- Bidding Procedures under the Act, Contracting procedures ---Dollar-amount limitations, Informal bidding procedures, and Formal bidding.*

b. **Schedule Milestones**

If funding is secured, the project initiation phase would begin immediately. The design and engineering phase would go out to public bid and a contractor would be secured. Environmental documents will be prepared and required permits will be obtained all within the first year. Phase Four, construction and installation of the screen structure, will take place once a construction contractor is selected and the rivers water conditions allow for construction to take place. Construction and installation of the fish screens will be complete within two years of funding approval. Phase Five will be initiated and a monitoring program for the new screening structure will be established.

c. **Third Party Impacts**

There are no anticipated negative third party impacts resulting from this proposed project. There are however, positive third party impacts which will occur as a result of the proposed project. There will be reductions or elimination of entrainment of juvenile fish species impacted by water diversions, which will help increase protection, survival, and population abundance of priority and secondary fish species. This project would also provide other agencies and water intake facilities with a model for establishing proactive plans to increase water diversion protection. It would also provide the CALFED Bay-Delta Program with a model project to help increase awareness and knowledge about water diversion screening projects.

VI. Applicant Qualifications

MORTON AUGUST

Mr. Morton August is the Director of Public Works for the City of Redding and is responsible for a staff of 136 people with an overall operating budget of \$22.6 million a year. For the past 26 years, Mr. August has worked in an upper management capacity within public works and engineering departments for the Cities of Dana Point, Encinitas, Manhattan Beach and Pasadena, as well as Wildan Associates. His duties have involved planning, park development efforts, operations and maintenance, liaison with state and federal agencies, and management of staff, consultants, and contractors. He received his Bachelor of Science degree in Civil Engineering from the University of Southern California in 1972. Mr. August actively led and participated in a team of professional consultants and contractors on an extremely complicated \$3.5 million restoration of bluff failure along the Coast Highway. The project was awarded the 1995 Putnam Award of Excellence by the League of California Cities and was selected from over 70 projects nationwide to receive the American Public Works Association's 1995 Project of the Year Judge Award of Distinction.

ROBERT RUSSELL

Mr. Robert Russell is an Assistant City Engineer for the City of Redding responsible for the management of the Engineering Division consisting of 20 employees. Mr. Russell has 20 years of professional experience in capacities such as Associate Civil Engineer, Public Works Operations Manager, and Assistant City Engineer for the City of Redding and Ott Water Engineers. As Assistant City Engineer, Mr. Russell manages the Engineering Division which is responsible for the

design and contract administration of Public Works capital improvement projects. In his capacity as Public Works Operations Manager, Mr. Russell was responsible for the management of maintenance operations of the City's Water Utility, Storm Drainage Utility, Maintenance Electrical and Engineering Group and Streets and Parking Divisions. He has been involved in projects such as hydrologic studies, hydropower feasibility studies, and a City Wide Storm Drain Master Plan.

MIKE ROBERTSON

Mr. Mike Robertson is the Chief Water Plant Operator for the City of Redding Water Utility. He oversees the operation and management of 63 different water treatment and supply facilities for the City of Redding, and ensures compliance with water quality requirements set by the California Department of Health Services - Office of Drinking Water and Environmental Management, and the U.S. Environmental Protection Agency. He directs and assists in the preparation of the water utility annual budget and numerous required engineering reports. Mr. Robertson develops the design specifications for equipment purchases to be used at water facilities, and is responsible for the design and upgrades performed at water treatment plants and the redevelopment of the groundwater well system. In addition, he manages contract operations with the Bureau of Reclamation regarding the City's two surface water contracts and Western Area Power Administration for forgone power.

JIM KING

Mr. Jim King is a Senior Planner for the City of Redding. He is responsible for the preparation of numerous documents pertaining to City-adopted policies which include floodplain management, floodplain ordinances, conservation of natural resources, general plan elements, wetland delineation documents, CEQA and NEPA reports, Scenic River Act documents, and wildlife management documents. Mr. King received his Bachelor of Science degree in City and Regional Planning, with a minor in Statistics and Architecture from California Polytechnic State University, San Luis Obispo in 1973.

VII. Standard Terms and Conditions

The City of Redding will comply with all standard terms and conditions. Attached are Form DI-2010 and Form 424.

TABLE I. Cost Breakdown Table

Project Phase	Direct Labor Hours	Direct Salary and Benefits	Overhead Labor (General, Admin. and fee)	Service Contract	Material and Acquisition Contracts	Miscellaneous and other Direct Costs	Total Cost
Phase One: Project Initiation							
• Administration and Contract Selection	60	\$2,520	\$1,800			\$300	\$4,620
Phase Two: Design/Engineering							
• Design/Engineering				\$60,000			\$60,000
• Administration	50	\$2,100	\$1,500				\$3,600
Phase Three: Permitting							
• Permitting	40	\$1,680	\$1,200	\$13,500		\$200	\$16,580
Phase Four: Construction							
• Administration and Contract Selection	60	\$2,520	\$1,800			\$300	\$4,620
• Construction Supervision	535	\$22,470	\$16,050			\$20,000	\$40,520
• Construction and Installation				\$131,000	\$304,400		\$435,400
Phase Five: Monitoring	150	\$6,300	\$4,500				\$10,800
Total City of Redding Contribution	895	\$37,590	\$26,850	\$13,500		\$2,800	\$80,740
Total Requested from Category III				\$180,600	\$257,300		\$495,400

Hourly rate breakdown: Direct Salary and Benefits = Average at \$42/hour
Overhead = 71% of Direct Salary and Benefits

Table 2. Schedule Milestones

Activity Name	1998		1999				2000				2001				2002
	3rd Q	4th Q	1st Q	2nd Q	3rd Q	4th Q	1st Q	2nd Q	3rd Q	4th Q	1st Q	2nd Q	3rd Q	4th Q	1st Q
PHASE 1 - Project Initiation															
PHASE 2 - Design / Engineering Studies															
PHASE 3 - Permitting															
PHASE 4 - Construction															
PHASE 5 - Monitoring															
	3rd Q	4th Q	1st Q	2nd Q	3rd Q	4th Q	1st Q	2nd Q	3rd Q	4th Q	1st Q	2nd Q	3rd Q	4th Q	1st Q

U.S. Department of the Interior

**Certifications Regarding Debarment, Suspension and
Other Responsibility Matters, Drug-Free Workplace
Requirements and Lobbying**

Persons signing this form should refer to the regulations referenced below for complete instructions:

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions - The prospective primary participant further agrees by submitting this proposal that it will include the clause titled, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. See below for language to be used or use this form for certification and sign. (See Appendix A of Subpart D of 43 CFR Part 12.)

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions - (See Appendix B of Subpart D of 43 CFR Part 12.)

Certification Regarding Drug-Free Workplace Requirements - Alternate I. (Grantees Other Than Individuals) and Alternate II. (Grantees Who are Individuals) - (See Appendix C of Subpart D of 43 CFR Part 12)

Signature on this form provides for compliance with certification requirements under 43 CFR Parts 12 and 18. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of the Interior determines to award the covered transaction, grant, cooperative agreement or loan.

PART A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

CHECK ☐ IF THIS CERTIFICATION IS FOR A PRIMARY COVERED TRANSACTION AND IS APPLICABLE

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

PART B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

CHECK ☐ IF THIS CERTIFICATION IS FOR A LOWER TIER COVERED TRANSACTION AND IS APPLICABLE

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

DE-2010
 June 1998
 (This form replaces DE-1863, DE-1864,
 DE-1865, DE-1866 and DE-1867)

PART C: Certification Regarding Drug-Free Workplace Requirements

CHECK X IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS NOT AN INDIVIDUAL

Alternate I. (Grantees Other Than Individuals)

A. The grantee certifies that it will or continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about—
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will —
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification numbers(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted —
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a) (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the sites for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

760 Parkview Avenue, City of Redding, County of Shasta, CA 96049-6071

Check xx if there are workplaces on file that are not identified here.

PART D: Certification Regarding Drug-Free Workplace Requirements

CHECK IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS AN INDIVIDUAL

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

DI-2010
June 1995
(This form replaces DI-1963, DI-1964,
DI-1966, DI-1968 and DI-1983)

Figure 1
Standard Form 424

**APPLICATION FOR
FEDERAL ASSISTANCE**

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Preapplication <input type="checkbox"/> <input checked="" type="checkbox"/> Construction <input type="checkbox"/> Construction <input type="checkbox"/> <input type="checkbox"/> Non-Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED 7/2/98 3. DATE RECEIVED BY STATE N/A 4. DATE RECEIVED BY FEDERAL AGENCY N/A																						
5. APPLICANT INFORMATION		Applicant Identifier N/A																						
Legal Name: City of Redding		State Application Identifier N/A																						
Address (give city, county, state, and zip code): 760 Parkview Avenue Redding, CA 96049-6071 County of Shasta		Name and telephone number of person to be contacted on matters involving this application (give area code): Morton F. August 530-225-4170																						
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 94 - 6000401		7. TYPE OF APPLICANT: (enter appropriate letter in box) <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; margin: 0 auto;">C</div> <div style="font-size: small;"> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) _____ </div>																						
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> <div style="font-size: x-small;"> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____ </div>		9. NAME OF FEDERAL AGENCY:																						
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE: N/A		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: City of Redding Water Utility Fish Screen Rehabilitation																						
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): City of Redding, California																								
13. PROPOSED PROJECT Start Date: _____ Ending Date: _____		14. CONGRESSIONAL DISTRICTS OF: a. Applicant _____ b. Project _____																						
15. ESTIMATED FUNDING: <table border="1" style="width:100%; border-collapse: collapse; font-size: x-small;"> <tr> <td style="width:20%;">a. Federal</td> <td style="width:40%; text-align: right;">\$ 495,400</td> <td style="width:10%; text-align: right;">.00</td> </tr> <tr> <td>b. Applicant</td> <td style="text-align: right;">\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>c. State</td> <td style="text-align: right;">\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>d. Local</td> <td style="text-align: right;">\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>e. Other</td> <td style="text-align: right;">\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>f. Program Income</td> <td style="text-align: right;">\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>g. TOTAL</td> <td style="text-align: right;">\$</td> <td style="text-align: right;">.00</td> </tr> </table>		a. Federal	\$ 495,400	.00	b. Applicant	\$.00	c. State	\$.00	d. Local	\$.00	e. Other	\$.00	f. Program Income	\$.00	g. TOTAL	\$.00	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: _____ DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
a. Federal	\$ 495,400	.00																						
b. Applicant	\$.00																						
c. State	\$.00																						
d. Local	\$.00																						
e. Other	\$.00																						
f. Program Income	\$.00																						
g. TOTAL	\$.00																						
		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation <input type="checkbox"/> No																						
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.																								
a. Type Name of Authorized Representative Morton F. August		b. Title Director of Public Works																						
c. Telephone Number 530-225-4170		d. Date Signed 6/30/98																						

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Standard Form 424 (REV. 4-82)
Prescribed by OMB Circular A-102

PART E: Certification Regarding Lobbying
Certification for Contracts, Grants, Loans, and Cooperative Agreements

CHECK IF CERTIFICATION IS FOR THE AWARD OF ANY OF THE FOLLOWING AND THE AMOUNT EXCEEDS \$100,000: A FEDERAL GRANT OR COOPERATIVE AGREEMENT; SUBCONTRACT, OR SUBGRANT UNDER THE GRANT OR COOPERATIVE AGREEMENT.

CHECK IF CERTIFICATION IS FOR THE AWARD OF A FEDERAL LOAN EXCEEDING THE AMOUNT OF \$150,000, OR A SUBGRANT OR SUBCONTRACT EXCEEDING \$100,000, UNDER THE LOAN.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1362, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

As the authorized certifying official, I hereby certify that the above specified certifications are true.



SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

Morton F. August, Director of Public Works

TYPED NAME AND TITLE

DATE June 30, 1998

DI-2076
June 1998
(This form replaces DI-1963, DI-1954,
DI-1956, DI-1958 and DI-1960)